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## ABSTRACT

This document examines role theory limited to the major studies related to educational administrators. The nature and history of role theory are reviewed and three theoretical approaches to the study of role theory are described: (1) role conflict resolution theory; (2) role theory related to social systems theory; and (3) the Fundamental Interpersonal Relations Orientation Theory of interpersonal behavior. Three empirical role theory studies related to educational administration are the School Board Executive Studies Program, the National Principalship Study, and the Role Conflict Resolution Behavior Study of High School Principals. Finally, conclusions are drawn about the methods used in role theory studies. (37 references) (SI)

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A Review of Educational Role Theory

A Teaching Guide  
For Administrative Theory

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## CHAPTER I

### THE PROBLEM IN PERSPECTIVE

#### Introduction

The theory of roles and role-sets has engaged the interest of numerous investigators in the fields of educational administration, management science, and social psychology. Since the 1930's the literature on the subject and related areas has grown rapidly in both the empirical and theoretical areas. Of particular research interest within complex educational organizations in recent years has been the educational administrator. Studies have appeared in educational literature investigating and reporting problems associated with the organizational structure and with its management and administration. Examples of such studies include the School Executive Studies Program in the 1950's, the National Principalship Study in the 1960's and other similar studies in university administration in the 1970's. The need to better understand the role of the educational administrator in both the public school system and the university is well documented in the literature. The literature is abundant with pleas for more empirical analysis on academic organizations.

Many organizational studies have been conducted wherein different kinds of occupations have been examined using role analysis and related role concepts. For example, Ben-David (1958) examined the professional role of the physician in bureaucratized medicine; Burchard (1954) studied the role conflict of military chaplains; Gullahorn (1956) investigated the role conflict experienced by labor union leaders; Getzels and Guba (1954) conducted a study which focused on the role conflict experienced by Air Force officers while assuming the multiple positions of officer and instructor; and Gross, Mason, and McEachern (1958) explored the role of the school superintendent.

In addition, Baldrige (1971) reports the same sorts of role conflict situations in the university setting. The Baldrige study reports on the role conflict of a dean. Not only is the dean caught between the expectations of the local departments and the central administration, but departmental chairmen are similarly caught between the conflicting expectations of the dean and professors in his department. Similar conditions exist for the school superintendent and principal. Even individual professors and teachers struggle between the expectations of students on the one hand and the university or school and their profession on the other. The dean, superintendent, and principal are often described as the "man in the middle." In reality there are literally dozens of "men in the middle" scattered throughout the formal organizational structure.

The literature is replete with descriptions of problems of persons who occupy multiple roles at one time. Robert Merton (1957, pp. 106-20) has called these "role-set" problems because every individual stands at the intersection of a whole set of roles that may have contradictory expectations.

### Purpose of Study

The purpose of this study is to (a) review the nature and history of role theory; (b) present three theoretical approaches to the study of role theory; (c) review three empirical role theory studies related to educational administration; and (d) draw some conclusions about the methods used in role theory studies.

This study does not attempt to investigate role theory in all areas, but will be limited to the major studies related to educational administrators. The study is centered around the idea that individuals are

involved in an array of roles which cluster about their personal and organizational life. Individuals are attached to a series of sub-units acting within the compass of a larger group. Inside the larger dimensions which might be an organization or any of its functional components, sub-units might be studied as units acting in concert, or in opposition, within the larger framework (Guetzkow, 1968). To each individual an assortment of roles might be ascribed according to their various structures and/or their functions within a more general context (Homans, 1950).

Organizations are not developed to have damaging or deleterious effects upon their members. They are designed to be purposeful structures to carry out assigned functions and missions. The harmful side effects have been one of the unfortunate consequences with which certain organizational members have had to deal. When persons, such as the superintendent, principal, and university dean or department chairman, are placed in crucial administrative roles, they do indeed become the "men in the middle," caught between conflicting groups, persons, or factions. Additional studies are needed to better understand the individual and his role in complex organizations. This study will review some of the theories and concepts related to this problem.



## CHAPTER II

### THE NATURE AND HISTORY OF ROLE THEORY

#### Introduction

Role theory is a relatively new field of inquiry that attempts to describe and understand a specialized field of human behavior. Since the 1930's role analysts have attempted to develop a role theory that will be universally recognized as a specialization in the behavioral and management sciences. Scholars have made strong attempts to gain universal acceptance of the role theory by establishing a domain of study, developing a prospective in language, articulating a body of knowledge, and by presenting a theory in methods of inquiry. While some of the major concepts of role theory were articulated in the early 1900's the basic definitive work occurred during the 1950's and 1960's.

Administrators have been concerned with describing and understanding real life behavior as it is displayed in social situations for a number of years. There is strong interest in areas such as a man's behavior as an employee and husband or a child's behavior or a given individual, sometimes on a specific aggregate of individuals, and sometimes particular groupings of individuals who display given behaviors. Many facets of real life behavior are studied such as the individual's appraisal of himself or others, the adequacy of the person's performance, how people learn to perform, and how the activities of some groups are related to those of other groups. Role theory is concerned with complex real life behavior which is associated with social positions, specializations, divisions of labor, sanctioning and conformity, and interdependence between individuals and aggregates (Biddle and Thomas, 1966; pp. 3-4).

The role theory concept to some extent can be compared to the actor who portrays a character in a play. The actor's performance is determined

by the script, the director's instructions, performances of fellow actors and to some extent reactions of the audience. With the exception of the actor's personal interpretation of his part, his performance is essentially programmed by these external factors. Individuals in real life are to a great extent programmed by external factors. Individuals in society occupy positions, and their role in these positions is determined by social norms and rules; by the role of others in respective positions; by those who observe and react to the individual's performance; and by the individual's personality and capabilities. In this analogy the social "script" may be compared to that of a play. The "director" is often present in real life as a supervisor, parent or teacher; the "audience" in life consists of those who observe the positions member's behavior; the positions member's performance in life is attributable to his personality and capabilities. In essence the role perspective assumes that individual performance is directly related to social prescriptions and behavior of others (Biddle & Thomas, 1966, p. 4).

The behavior of an individual is obviously shaped by the demands and roles of others, by perceived sanctions, and by the individual's own understanding and assumptions of what his behavior should be. The role analyst is concerned with studying these factors in the context of families, informal and work groups, school groups, organizations, communities, and societies. Studies in role theory frequently highlight the social determinants that influence human behavior.

### Historical Beginnings

A number of European and Western scholars have expressed views of human behavior which are consistent with role theory today. These

behavioral scientists have been named precursors by Biddle and Thomas. The contributions of the early precursors were mainly in the area of role perspective. Their writings were published prior to 1930 and before a role language was fully developed.

Table 1 presents a listing of these precursors and the dates of their major works. As indicated in the table some were anthropologists, philosophers, psychologists, and sociologists. Many of these scientists will be recognized as having made major contributions to the discipline of behavioral science, and to the understanding of organizational theory.

The precursors will only be mentioned in order to provide some historical perspective for role theory. No attempt in this study will be made to trace current concepts to the writings of the precursors.

Since the language of role theory is extremely important to the role analyst, the writings of three early 1900 behavioral scientists will be briefly discussed--Moreno, Mead, and Linton. In order for the role theory concept to develop to its present-day sophistication it was necessary to develop definitions and vocabularies. Moreno has been able to trace a brief history of the usage of the word role. Moreno's summarization is as follows:

"Role" originally a French word which penetrated into English is derived from the Latin rotula (the little wheel, or round log, the diminutive of rotawheel). In antiquity it was used, originally, only to designate a round (wooden) roll on which sheets of parchment were fastened so as to smoothly roll ("wheel") them around it since otherwise the sheets would break or crumble. From this came the word for an assemblage of such leaves into a scroll or book-like composite. This was used, subsequently, to mean any official volume of papers pertaining to law courts, as in France, or to government, as for instance in England: rolls of Parliament--the minutes or proceedings. Whereas in Greece and also in ancient Rome the parts in the theater were written on the above-mentioned "rolls" and read by the prompters to the actors (who tried to memorize their part), this fixation of the word appears to have

Table 1 (Contd.)

Origins and Disciplinary Tradition				
Period	American Psychologists and Social Philosophers	American Sociologists and Anthropologists	European Psychologists	European Sociologists, Anthropologists, and Social Philosophers
1931-1940		Mayo (1933) Roethlisberger and Dickson (1939) Park (1939)	Janet (1932, 1936, 1937) Piaget (1932) Blondel (1932)	Muller-Freienfels (1933) Eggert (1937)

Note. Adapted from Bruce J. Biddle and Edwin J. Thomas (Eds.), Role theory: Concepts and research. New York: John Wiley & Sons, 1966, p. 5.

Table 1  
Major Precursors of Role Theory

Origins and Disciplinary Tradition				
Period	American Psychologists and Social Philosophers	American Sociologists and Anthropologists	European Psychologists	European Sociologists, Anthropologists, and Social Philosophers
Prior to 1900	James (1890) Hall (1891, 1898) Baldwin (1891, 1897, 1899) Dewey (1899) Royce (1900)		Binet (1900)	Maine (1861) Bergson (1889, 1900) Durkheim (1893, 1894, 1897)
1901-1910		Cooley (1902, 1909) Sumner (1906) Ross (1908)		
1911-1920		Thomas and Znaniecki (1918)	Blondel (1914)	Scheler (1913, 1915) Moreno (1919) Simmel (1920)
1921-1930	Dewey (1922)	Park and Burgess (1924) Morgan (1929)	Guillaume (1925) Blondel (1927) Janet (1928, 1929)	Müller-Freienfels (1923, 1925) Moreno (1923) Van Wiese (1924) Scheler (1926) Löwith (1928)

been lost in the more illiterate periods of the early and middle centuries of the Dark Ages, for their public presentation of church plays by laymen. Only towards the sixteenth and seventeenth centuries, with the emergence of the modern stage, the parts of the theatrical characters are read from "roles," paper fascicles. Whence each scenic part becomes a role. (Moreno, 1960, p. 80)

As illustrated in the summarization above the term role has not been used in a technical concept. It is generally assumed among behavioral scientists that the technical application of role was not employed until the decade of the 1930's.

George Herbert Mead was one of the first behavioral scientists to utilize the technical aspects of role theory. In his work Mind, Self and Society he was concerned with examining problems of interaction, the self, and socialization. Mead employed in this situation the concept of role taking (Mead & Morris, 1934).

About the same time period Jacob Moreno pioneered the use of role playing in psycho-drama and socio-drama. The terms "role" and "role playing" appeared in Moreno's Who Shall Survive. It is generally considered that Moreno made important contributions to the understanding of behavior although he is best known for his innovation in the technology of change. His interest in changing behavior and in role playing have greatly influenced the role theory field (Moreno, 1960, p. 81).

In 1936 Ralph Linton made a major contribution to role theory when he proposed a classic distinction between status (position) and role.

A status, as distinct from the individual who may occupy it, is simply a collection of rights and duties....A role represents the dynamic aspect of a status. The individual is socially assigned to a status and occupies it with relation to other statuses. When he puts the rights and duties which constitute the status into effect, he is performing a role. Role and status are quite inseparable, and the distinction between them is of only academic interest. There are no roles without statuses or statuses without

roles. Just as in the case of status the term role is used with a double significance. Every individual has a series of roles deriving from the various patterns in which he participates and at the same time a role, general, which represents the sum total of these roles and determines what he does for his society and what he can expect from it. (Linton, 1936, pp. 113-114)

Linton's ideas concerning a close relationship between role and position have been most influential on the writings of modern behavioral scientists. Concepts generated by Linton led to the articulation that role was one linkage between individual behavior and social structure.

In the 1940's and 1950's the concept of role assumed a key position in social science research. The concept of role was used in the analysis of the structure and functioning of social systems and to explain individual behavior. Many social scientists found it necessary to reexamine the conceptualizations and definitions of the concepts associated with role theory. The literature reveals several interesting definitions worthy of note. The "role concept" plays an important role in Parsons' theoretical framework of social systems (Parsons, 1951) and is a crucial element in Newcomb's (Newcomb, 1951) and Sarbin's (Sarbin, 1954) social psychology, as well as in Linton's social anthropology (Linton, 1936) and Mead's theory of the development of self (Mead, 1934).

In spite of these studies a definition problem still existed concerning the concept of role. The following definitions are frequently used in the literature and illustrate some of the problems associated with the definition problem.

- 1) Linton - "...the sum total of cultural patterns associated with a particular status" (Linton, 1936, p. 105).
- 2) Bennett and Tumin - "...what the society expects of an individual occupying a given status. This implies that any status is functionally defined by the role attached to it" (Bennett & Tumin, 1948, p. 96).



- 3) Sargent - "A person's role is a pattern or type of social behavior which seems situationally appropriate to him in terms of the demand and expectations of those in his group" (Sargent, 1951, p. 360).
- 4) Parsons - "Each action is the action of an actor, and it takes place in a situation consisting of objects. The objects may be other actors or physical or cultural objects. Each actor has a system of relationship to objects; this is called his system or orientation. The objects may be goal objects, resources, means, conditions, obstacle, or symbols" (Parsons & Shils, 1951, p. 54).
- 5) Parsons - "A role ... is sector of the total orientation system of an individual actor which is organized about expectations in relationship to a particular interaction context, that is integrated with a particular set of value standards which govern interaction with one or more authors in the appropriate complementary roles" (Parsons, 1956, pp. 63-85).

The above definitions of role are presented for illustrative purposes. Almost all of the definitions reviewed for this study concerning the role concept embraced the notion that people do not behave in a random manner, their behavior is influenced by their own expectations and expectations of others in the group or society which they are participants.

The writings of these early behavioral scientists, e.g., Mead, Moreno and Linton, did much to establish the current concept of role. These writers have been joined by many other writers in articulating a more structured vocabulary of the role language. The 1930's marked the beginning of contemporary role theory. During this time a technical role language was first apparent and the concept of role phenomenon was begun.

The extensive use of role related terms was not apparent in empirical studies until after World War II. The word "role" did not appear in the psychological abstracts as a major index category until 1945. After this time period the language for role theory developed



rapidly. Biddle and Thomas have compiled a list of selected modern contributors to role language. These contributors are shown in Table 2.

Scores of words and ideas in the vocabulary of role have developed from the writers shown in Table 2. Over the years the language of role has grown from a few to many concepts and from vague to more precise ideas. The role analyst may now describe some of the complex real life phenomenon relatively accurately by using role terms and concepts. As a behavioral science language the role language is impressive. While no behavioral science specialization language is complete, role language is adequate to help describe and predict real life behavior. In Table 3 Biddle and Thomas have summarized selected common terms in role theory.

Like all behavioral science languages role theory is characterized by some language problems. In Table 3 there obviously are some terms that have popular as well as technical meanings and these meanings are not always identical. The terms may also pertain to more than one concept and technical meanings may not always be consistent. In these ways the language is obviously not yet perfected.

There are a number of studies in the behavioral science literature that use consistently the vocabulary presented in Table 3. This vocabulary has made it possible for behavioral scientists to articulate effectively in the field of role theory. For instance the literature reveals a number of studies have already been made of educational roles such as those of the superintendent, the teacher, the school board member, the principal, the school counselor, and pupil. Other studies include the role of the physician, the medical student, the social worker, the minister, business executive and the family. There is an impressive

Table 2

Selected, Contemporary Contributors to Role Theory,  
by Period of Published Works

Period of Publication of Contribution	Authors of Contributions	
1931-1935	F. H. Allport (1934) Cottrell (1933)	Lumpkin (1933) Mead (1934) Moreno (1934)
1936-1940	Benedict (1938) Hughes (1937, 1938) Linton (1936)	Parsons (1937) Sherif (1936) Sullivan (1939, 1940)
1941-1945	Benoit-Smullyan (1944) Cottrell (1942a) Hughes (1945) Jennings (1943)	Linton (1945) Newcomb (1942) Parsons (1942, 1945) Sarbin (1943)
1946-1950	Benne and Sheats (1948) Cameron (1947) Davis (1949) Festinger, Schachter and Back (1950) Festinger, et al. (1950) Homans (1950) Komarovsky (1946) Lindesmith and Strauss (1949) Merton (1949)	Moreno (1946) Murdock (1949) Murphy (1947) Newcomb (1947, 1950) Reissman (1949) Sarbin (1950) Sherif (1948) Stouffer (1949) Sullivan (1947)

Table 2 (Contd.)

Period of Publication of Contribution	Authors of Contributions	
1951-1955	Argyle (1952) Asch (1952) Bales and Slater (1955) Coutu (1951) Getzels and Guba (1954) Hall (1955) Herbst (1952) Janis and King (1954) Jaques (1952) Killian (1952) Levy (1952) Moreno (1953b)	Neiman and Hughes (1951) Newcomb (1954) Parsons (1951) Parsons and Shils (1951) Rummetveit (1954) Sarbin (1952, 1954) Sarbin and Jones (1955) Sargent (1951) Stouffer and Toby (1951) Toby (1952, 1953) Wilson, Trist, and Curle (1952) Yablonsky (1953) Zelditch (1955)
1956-1960	Anderson and Moore (1957) Angell (1958) Bales (1958) Bates, F. L. (1956, 1957) Blood and Wolfe (1960) Borgatta (1960b) Bott (1957) Brim (1958) Cattell (1957) Eisenstadt (1956) Foa (1958) Galtung (1959b) Gerard (1957) Goffman (1959)	Jackson (1960) Lang (1956) Levinson (1959) Lieberman (1956) Mann (1956) Mann and Mann (1959) Merton (1957) Morris (1956) Pellegrin and Bates (1959) Pierce (1956) Sayres (1956) Spiegel (1957) Thibaut and Kelley (1959) Thomas (1957)

Table 2 (Contd.)

Period of Publication of Contribution	Authors of Contributions	
1956-1960 Continued	Goode (1960a, b) Gouldner (1957a, b; 1960) Gross, Mason, and McEachern (1957) Grusky (1959) Guetzkow (1960)	Turner (1956) Videbeck and Bates (1959) Zander, Cohen, and Stotland (1957) Zetterberg (1957)

Note. Adapted from Bruce T. Biddle and Edwin J. Thomas (Eds.), Role theory: Concepts and research.  
New York: John Wiley & Sons, 1966, pp. 8-9.

Table 3  
Selected Common Terms in Role Theory and  
Their Common-Language and Role Meanings

Classes of Terms	Definitions	
	Common-language Meanings	Selected Meanings in Role Theory
<b>Terms for Partitioning Persons</b>		
Actor	<ol style="list-style-type: none"> <li>1. A doer.</li> <li>2. A theatrical performer.</li> </ol>	<ol style="list-style-type: none"> <li>1. A person engaged in interactions with others.</li> <li>2. A person who is an object of study.</li> </ol>
Alter [Ego]	<ol style="list-style-type: none"> <li>1. A second.</li> <li>2. A second self.</li> <li>3. A friend.</li> </ol>	A person related to someone under discussion.
Ego	<ol style="list-style-type: none"> <li>1. The entire person.</li> <li>2. The phenomenal experiencer.</li> <li>3. The self.</li> </ol>	A person under discussion (usually contrasted with alter).
Other	<ol style="list-style-type: none"> <li>1. One (or more) as distinct from those previously mentioned.</li> <li>2. Additional.</li> <li>3. Alternate.</li> </ol>	An individual whose behavior is not the main object of inquiry but one in relationship to whom that person behaves.

Table 3 (Contd.)

Classes of Terms	Definitions	
	Common-language Meanings	Selected Meanings in Role Theory
<b>Terms for Partitioning Persons</b>		
Person	<p>[L, persona, a mask used by actors]</p> <ol style="list-style-type: none"> <li>1. A character or part in a play (archaic).</li> <li>2. A human being; an individual.</li> <li>3. Bodily presence.</li> <li>4. The real self.</li> </ol>	<p>The individual upon whom attention is focused; an actor, target, ego, alter, subject, or object, depending on context.</p>
Self	<ol style="list-style-type: none"> <li>1. The individual; a being regarded as having a personality; a being in its relations to its own identity.</li> <li>2. Identity considered abstractly.</li> </ol>	<ol style="list-style-type: none"> <li>1. The sense of personal identity.</li> <li>2. The set of all standards, descriptions, and concepts held by an actor for himself.</li> </ol>
<b>Terms for Partitioning Behaviors</b>		
Expectation	<ol style="list-style-type: none"> <li>1. A state of affairs looked for in the future; an anticipation.</li> </ol>	<ol style="list-style-type: none"> <li>1. A concept held about a behavior likely to be exhibited by a person.</li> </ol>

Table 3 (Contd.)

Classes of Terms	Definitions	
	Common-language Meanings	Selected Meanings in Role Theory
Terms for Partitioning Behaviors		
Expectation (Continued)	<ol style="list-style-type: none"> <li>2. A tentative or theoretical description or model of existing events.</li> <li>3. A hoped-for state of affairs.</li> <li>4. An idea concerning what ought to occur.</li> </ol>	<ol style="list-style-type: none"> <li>2. A standard held for the behavior of a person.</li> <li>3. An anticipation.</li> <li>4. A norm.</li> <li>5. An attitude.</li> </ol>
Norm	<p>[L, norma, a rule, pattern, or carpenter's square]</p> <ol style="list-style-type: none"> <li>1. A rule or authoritative standard; a model, type, or pattern.</li> <li>2. A standard of development of achievement; the mode or median.</li> </ol>	<ol style="list-style-type: none"> <li>1. A standard held for the behavior of a person or group.</li> <li>2. A description of, or concept held about, a behavior pattern likely to be exhibited by a person or group.</li> <li>3. Behavioral uniformity of actors.</li> <li>4. Role.</li> </ol>
Performance	<p>[F, parformir, to finish or complete]</p> <ol style="list-style-type: none"> <li>1. The execution of required functions.</li> <li>2. A deed or feat, hence a presentation.</li> </ol>	Overt activity; role behavior; goal-directed behavior.

Table 3 (Contd.)

Classes of Terms	Definitions	
	Common-language Meanings	Selected Meanings in Role Theory
<b>Terms for Partitioning Behaviors</b>		
Sanction	<p>[L, sanctio, to render sacred or inviolable]</p> <ol style="list-style-type: none"> <li>1. Solemn or ceremonious ratification.</li> <li>2. That which induces observance of law or custom such as reward, loss, or coercive intervention.</li> </ol>	<ol style="list-style-type: none"> <li>1. Behavior by an actor which rewards or punishes another contingent upon conformity by the other to norms or rules.</li> <li>2. Descriptions, concepts, or anticipations of contingent rewards or punishments.</li> </ol>
<b>Terms for Partitioning Sets of Persons and Behaviors</b>		
Position (or Social Position)	<ol style="list-style-type: none"> <li>1. A positioning or placing; the manner in which anything is placed.</li> <li>2. An office, rank, status, or employment.</li> <li>3. A spot, place, or condition giving one an advantage over another.</li> </ol>	<ol style="list-style-type: none"> <li>1. A designated location in the structure of a social system</li> <li>2. A set of persons sharing common attributes or treated similarly by others.</li> <li>3. A role.</li> </ol>



Table 3 (Contd.)

Classes of Terms	Definitions	
	Common-language Meanings	Selected Meanings in Role Theory
<b>Terms for Partitioning Sets of Persons and Behaviors</b>		
Role	<p>[F, the roll on which an actor's part is written]</p> <ol style="list-style-type: none"> <li>1. A part or character performed by an actor in a drama.</li> <li>2. A part or function taken or assumed by any person or structure.</li> </ol>	<ol style="list-style-type: none"> <li>1. A behavioral repertoire characteristic of a person or a position.</li> <li>2. A set of standards, descriptions, norms, or concepts held (by anyone) for the behaviors of a person or a position.</li> <li>3. A position.</li> </ol>
Status	<ol style="list-style-type: none"> <li>1. A state or condition of a person.</li> <li>2. One's rank, particularly high rank.</li> <li>3. Social class.</li> </ol>	<ol style="list-style-type: none"> <li>1. A position</li> <li>2. Power, prestige, or wealth associated with a social position.</li> </ol>
Accuracy	<ol style="list-style-type: none"> <li>1. Conformity to truth or some standard.</li> <li>2. Exactness.</li> </ol>	Agreement between an event and a description of it.
Conformity	Agreement, harmony,	<ol style="list-style-type: none"> <li>1. Correspondence between behavior and prescriptions for it.</li> </ol>

Table 3 (Contd.)

Classes of Terms	Definitions	
	Common-language Meanings	Selected Meanings in Role Theory
<b>Terms for Partitioning Sets of Persons and Behaviors</b>		
Conformity (Continued)		2. Correspondence between individual behavior and behavior patterns evidenced by a group.
Consensus (or Sharing)	1. Agreement in opinion or testimony. 2. Convergent trends in opinion.	1. Sameness of commonly held norms, conceptions. 2. Sameness of behavior in general.
Role Conflict	[Not in the common language]	1. Inconsistent prescriptions (or other standards) held for a person by himself or by one or more others. 2. The attribution of inconsistent prescriptions (or standards) to others, applicable to one's self. 3. Feelings of unease resulting from the existence or assumption of inconsistent prescriptions (or standards).

Table 3 (Contd.)

Classes of Terms	Definitions	
	Common-language Meanings	Selected Meanings in Role Theory
Terms for Partitioning Sets of Persons and Behaviors		
Specialization	<ol style="list-style-type: none"> <li>1. Particularization.</li> <li>2. To restrict to a particular use or end.</li> <li>3. Structural adaptation.</li> <li>4. Concentration of effort.</li> </ol>	The fact that persons display behaviors differentiated from those of others

Note. Adapted from Bruce J. Biddle and Edwin J. Thomas (Eds.), Role theory: Concepts and Research New York: John Wiley & Sons, 1966, pp. 10-12.

body of knowledge already available in the area of role theory and new studies are being mounted in large-scale organizations, the political arena and in social movements.

## CHAPTER III

### THEORETICAL APPROACHES TO THE STUDY OF ROLE THEORY

#### Introduction

This chapter presents a review of three theoretical approaches to the study of role theory. For the purpose of this study the three approaches will be identified as:

- 1) role conflict resolution theory--Gross, Mason, and McEachern;
- 2) role theory related to social systems theory--Getzels and Guba;
- 3) the FIRO theory of interpersonal behavior--Schutz.

These three theories were selected for review because of their importance and impact on educational administration and for their contributions to the general field of role theory.

#### Role Conflict Resolution--Gross, Mason, McEachern

The theory of role conflict resolution suggested by Gross, et al., involves the two elements of legitimacy and sanction. Gross and his associates hypothesized that there were four alternative means of resolving role conflict: (a) conform to expectation A; (b) conform to expectation B; (c) attempt to conform in part to both expectations but with some compromised behavior; (d) avoid conforming to either of the expectations. The theory is built on the assumption that actors are predisposed to conform to expectations they perceive as legitimate, perceived obligations and are predisposed to avoid conforming to expectations which they perceive as illegitimate (Gross, Mason & McEachern, 1958, pp. 284-285). That is to say if an actor feels that an individual or group has a right to expect him to behave in conformity with a given expectation he will be predisposed to conform to it. An individual who defines an expectation held by others to be illegitimate will be predisposed not to conform. The

assumption is made that the individual who fails to conform to an expectation which is perceived as legitimate will result in a negative internal sanction. In other words the theory allows for the prediction of behavior according to four alternative courses of action. When an individual is confronted with two incompatible expectations the theory describes relationships among the perceived legitimacy of the expectation, the perceived sanctions resulting from nonconformity, the orientation of the individual to these legitimacies and sanctions dimensions and his behavior (Gross, Mason, & McEachern, 1958, pp. 289-298).

This theory has been tested among school superintendents in four incompatible expectation situations and the results were interpreted as supporting the theory. Gross and associates stated they could predict which of these means an individual would select to resolve role conflict. The first factor used in prediction was the right others have to expect the focal role to behave in conformity with their expectations. This type of prediction was based on legitimacy. The second factor was the ability of others to sanction the focal role for nonconformity to their expectations. The third factor was a personality variable which indicated that an individual would be predisposed to give primacy to either legitimacy or sanctioning activities.

The research team hypothesized that individuals would have one of three distinct personality orientations in role conflict situations. The first was a moral orientation in which individuals appeared to emphasize legitimacy and minimize sanctioning ability. The second was an expedient orientation in which the focal role emphasizes sanctioning ability over legitimacy. In the third type the individual sees a net

balance between sanctioning ability and legitimacy (Gross, Mason, & McEachern, 1958, p. 299).

The starting point for the development of the Gross et al. theory is the actor's definition of the role conflict situation according to two elements, legitimacy and sanctions. The three elements of this theory that must be identified by the actor are: (a) his feeling about the legitimacy or illegitimacy of each of the incompatible expectations that he perceives is held for him in the situation; (b) his perception of the sanctions to which he will be exposed for nonconformity to each of the incompatible expectations and (c) his orientation to legitimacy and sanctions (Gross, Mason, & McEachern, 1958, pp. 284-285).

In order to understand the Gross theory some attention must be given to the legitimacy and sanctions dimensions. If an actor perceives his exposure to two incompatible expectations, A and B, then, using only the criterion of legitimacy, there are four possible types into which the situation the actor perceives are confronting him may fall. As shown in Figure 1, these can be identified as: (a) A and B are both perceived as legitimate; (b) A is perceived as legitimate, and B is perceived as illegitimate; (c) B is perceived as legitimate, and A is perceived as illegitimate; (d) A and B are both perceived as illegitimate. On the assumption that an actor is predisposed to conform only to legitimate expectations, one could make the predictions presented in Figure 1 (Gross, Mason, & McEachern, 1958, p. 285).

In situations 2 and 3 the actor would conform to the legitimate expectation and reject or ignore the illegitimate one. In the first situation, the actor would try to conform in part to both of them by

Type	1		2		3		4	
Expectation	A	B	A	B	A	B	A	B
Legitimacy*	L      L		L      I		I      L		I      I	
Behavior <sup>†</sup>	c		a		b		d	

\*Legitimacy abbreviations: L = expectation perceived as legitimate; I = expectation perceived as illegitimate.

†Behavior abbreviations: a = conformity to expectation A; b = conformity to expectation B; c = compromise; d = avoidance.

Figure 1. Behavior predicted for four types of role conflicts on the basis of the "legitimacy assumption."

adopting some form of compromise behavior. In the fourth situation he would be predisposed to conform to neither of them and therefore would engage in some type of avoidance behavior (Gross, Mason, & McEachern, 1958, p. 286).

Prediction for the legitimacy dimension provide only one side of the problem for the actor. The actor must also consider the sanctions dimension. The sanctions dimension is built on the assumption that an actor will want to maximize gratification and minimize the negative sanctions (Parsons, 1951).

If an actor is exposed to two incompatible expectations, A and B, and we consider only his perception of the negative sanctions, and categorize the negative sanctions into strong and weak, we can construct four situations as shown in Figure 2 (Gross, Mason, & McEachern, 1958, p. 287).



Type	1		2		3		4	
Expectation	A	B	A	B	A	B	A	B
Sanctions*	+      +		-      +		+      -		-      -	
Behavior†	c		b		a		?	

\*Sanctions abbreviations: + = strong negative sanctions applied for nonconformity to the expectation; - = strong negative sanctions not applied for nonconformity to the expectation.

†Behavior abbreviations: a = conformity to expectation; b = conformity to expectation B; c = compromise; d = avoidance; ? = no prediction possible.

Figure 2. Behavior predicted for four types of role conflicts on the basis of the "sanctions assumption."

In the first situation, the actor would try to compromise, since nonconformity to either A or B would result in heavy negative sanctions. Such a decision would maximize his gratification from the situation. In the second and third situation he would conform to the expectation for nonconformity to which he perceived the greater negative sanctions. In the fourth case, there is no basis for prediction because he would not be predisposed to conform to either A or B (Gross, Mason, & McEachern, 1958, p. 287).

For theoretical purposes the dimensions of legitimacy and sanctions have been examined separately. However, in any role conflict situation the actor perceives both of these dimensions and takes them into account in his decision-making. When the two dimensions are combined, 16

combinations are developed and presented in Figure 3 (Gross, Mason, & McEachern, 1958, p. 290).

Type	1	2	3	4
Expectation	A B	A B	A B	A B
Legitimacy	L L	L L	L L	L L
Sanctions	+ +	- +	+ -	- -
Behavior	c	?	?	c

Type	5	6	7	8
Expectation	A B	A B	A B	A B
Legitimacy	L I	L I	L I	L I
Sanctions	+ +	- +	+ -	- -
Behavior	?	?	a	a

Type	9	10	11	12
Expectation	A B	A B	A B	A B
Legitimacy	I L	I L	I L	I L
Sanctions	+ +	- +	+ -	- -
Behavior	?	b	?	b

Type	13	14	15	16
Expectation	A B	A B	A B	A B
Legitimacy	I I	I I	I I	I I
Sanctions	+ +	- +	+ -	- -
Behavior	?	?	?	d

L = expectation perceived as legitimate; I = expectation perceived as illegitimate; + = strong negative sanctions applied for nonconformity to the expectation; - = strong negative sanctions not applied for nonconformity to the expectation; a = conformity to expectation A; b = conformity to expectation B, c = compromise; d = avoidance; and ? = no prediction possible.

Figure 3. Behavior predicted for 16 types of role conflicts on the basis of the "sanctions" and "legitimacy" assumptions.

On the basis of the assumption made for the legitimacy and sanctions dimensions, some prediction can be made about the combined effects as shown in Figure 3. The predictions made by Gross and associates are:

- Cell 1: Compromise behavior, because both dimensions predispose compromise behavior.
- Cell 4: Compromise behavior, because the legitimacy dimension predisposes to a compromise and the sanctions dimension has no effect.
- Cell 7: Conformity to A, because both dimensions predispose conformity to A.
- Cell 8: Conformity to A, because the legitimacy dimension predisposes conformity to A and the sanctions dimension has no effect.
- Cell 10: Conformity to B, because both dimensions predispose conformity to B.
- Cell 12: Conformity to B, because the legitimacy dimension predisposes conformity to B and the sanctions dimension has no effect.
- Cell 16: Avoidance behavior, because the legitimacy dimension predisposes avoidance of both A and B and the sanctions dimension has no effect (Gross, Mason, & McEachern, 1958, pp. 287-288).

For the other nine cells, it is not possible with only these two assumptions to make predictions about behavior.

While the assumptions regarding the impact of legitimacy and sanctions on role conflict resolution are helpful, they are inadequate in combination to provide a basis for predicting how an actor will behave. A third element--the primacy of orientation to the legitimacy or to the sanctions dimensions--is needed. Gross and associates identify three such actors.

The first type characterizes the person who gives primacy to the legitimacy dimension. He places stress on the right of others to hold

the expectations he perceives they hold for him and de-emphasizes the sanctions he thinks will be applied to him for nonconformity to them. Such a person is characterized as having "moral" orientation to expectations. For the individual with the "moral" orientation to expectations, one can ignore his perceptions of the sanctions dimension in making prediction about his behavior. For the 16 possible situations when the legitimacy and sanctions dimensions are combined, predictions can be made as given in Figure 4 (Gross, Mason, & McEachern, 1958, p. 290).

The second type of primary of orientation to expectations is described as expedient. An individual with this orientation will give priority to the sanctions over the legitimacy dimension of the expectations perceived as held by others. Such a person is primarily conceived with minimizing the negative sanctions involved in the role conflict situation. His orientation is based on a desire to be self-protective.

From the 16 possible situations the expedient actor could be predicted as presented in Figure 5 (Gross, Mason, & McEachern, 1958, p. 292).

A third type of orientation to expectations can be described as "moral-expedient." A person who has this orientation does not give primacy to the legitimacy or sanctions dimensions, but takes both dimensions relatively equally into account and behaves in accordance with the perceived "net balance" of the two dimensions. For some role conflict situations the decisions of an individual with this orientation are relatively simple since both the legitimacy and sanctions element lend him to the same behavior. Figure 6 summarizes the predictions on the 16 types of role conflicts for individuals with a "moral-expedient" orientation (Gross, Mason, & McEachern, 1958, p. 290).

Type	1	2	3	4
Expectation	A    B	A    B	A    B	A    B
Legitimacy	L    L	L    L	L    L	L    L
Sanctions	+    +	-    +	+    -	-    -
Behavior	c	c	c	c
Type	5	6	7	8
Expectation	A    B	A    B	A    B	A    B
Legitimacy	L    I	L    I	L    I	L    I
Sanctions	+    +	-    +	+    -	-    -
Behavior	a	a	a	a
Type	9	10	11	12
Expectation	A    B	A    B	A    B	A    B
Legitimacy	I    L	I    L	I    L	I    L
Sanctions	+    +	-    +	+    -	-    -
Behavior	b	b	b	b
Type	13	14	15	16
Expectation	A    B	A    B	A    B	A    B
Legitimacy	I    I	I    I	I    I	I    I
Sanctions	+    +	-    +	+    -	-    -
Behavior	d	d	d	d

L = expectation perceived as legitimate; I = expectation perceived as illegitimate; + = strong negative sanctions applied for nonconformity to the expectation; - = strong negative sanctions not applied for nonconformity to the expectation; a = conformity to expectation A; b = conformity to expectation B; c = compromise; d = avoidance; and ? = no prediction possible.

Figure 4. Behavior predicted for 16 types of role conflicts for individuals with a "moral orientation."

Type	1	2	3	4
Expectation	A B	A B	A B	A B
Legitimacy	L L	L L	L L	L L
Sanctions	+ +	- +	+ -	- -
Behavior	c	b	a	c
Type	5	6	7	8
Expectation	A B	A B	A B	A B
Legitimacy	L I	L I	L I	L I
Sanctions	+ +	- +	+ -	- -
Behavior	c	b	a	a
Type	9	10	11	12
Expectation	A B	A B	A B	A B
Legitimacy	I L	I L	I L	I L
Sanctions	+ +	- +	+ -	- -
Behavior	c	b	a	b
Type	13	14	15	16
Expectation	A B	A B	A B	A B
Legitimacy	I I	I I	I I	I I
Sanctions	+ +	- +	+ -	- -
Behavior	c	b	a	d

L = expectation perceived as legitimate; I = expectation perceived as illegitimate; + = strong negative sanctions applied for nonconformity to the expectation; - = strong negative sanctions not applied for nonconformity to the expectation; a = conformity to expectation A; b = conformity to expectation B; c = compromise; d = avoidance; and ? = no prediction possible.

Figure 5. Behavior predicted for 16 types of role conflicts for individuals with an "expedient orientation."

Type	1	2	3	4
Expectation	A B	A B	A B	A B
Legitimacy	L L	L L	L L	L L
Sanctions	+ +	- +	+ -	- -
Behavior	c	b	a	c

Type	5	6	7	8
Expectation	A B	A B	A B	A B
Legitimacy	L I	L I	L I	L I
Sanctions	+ +	- +	+ -	- -
Behavior	a	c	a	a

Type	9	10	11	12
Expectation	A B	A B	A B	A B
Legitimacy	I L	I L	I L	I L
Sanctions	+ +	- +	+ -	- -
Behavior	b	b	c	b

Type	13	14	15	16
Expectation	A B	A B	A B	A B
Legitimacy	I I	I I	I I	I I
Sanctions	+ +	- +	+ -	- -
Behavior	c	b	a	d

L = expectation perceived as legitimate; I = expectation perceived as illegitimate; + = strong negative sanctions applied for nonconformity to the expectation; - = strong negative sanctions not applied for nonconformity to the expectation; a = conformity to expectation A; b = conformity to expectation B, c = compromise; d = avoidance; and ? = no prediction possible.

Figure 6. Behavior predicted for 16 types of role conflicts for individuals with a "moral-expedient orientation."

The moralistic dimension of the "moral-expedient" would likely lead him to an avoidance behavior and the sanctions dimension suggests a compromise position.

This theory provides a series of assumptions with respect to the legitimacy, sanctions, and orientation dimensions for the prediction of behavior under all 48 possible conditions under which position incumbents may be faced with role conflicts. According to Gross et al., given these conditions, it is possible to predict the behavior by means of which individuals will resolve the role conflicts with which they perceive they are faced.

#### Role Theory Related to Social Systems Theory--Getzels and Guba

In the late 1950's two researchers by the names of J. W. Getzels and E. G. Guba pioneered several studies in pursuit of a theory in educational administration. These two researchers were seeking to develop a comprehensive theory capable of generating both hypothesis for guiding research principles and for guiding practice. According to Getzels and Guba, educational scholars had failed to conceptualize administration on a general theoretical level. This failure has been a major obstacle to the development of administration as a discipline and in understanding the role of an individual in an organizational environment.

In an attempt to better understand the role of the individual within an organizational setting, Getzels and Guba developed a theory of administration as a social process. In the development of their theoretical concept of administration they have clearly delineated the role of the individual within the organizational setting. In order to fully understand



and appreciate the role theory concept presented by Getzels and Guba it is necessary to look briefly at the broader concept of administration as a social process.

The process of administration deals essentially with the conduct of social behavior in a hierarchical setting. Structurally, administration may be seen as a series of superordinate-subordinate relationships within a social system. Functionally, the hierarchical relationship is frequently the locus for allocating the integrating roles, personnel, and facilities to achieve the goals of the system (Getzels, 1952, pp. 235-243).

The term "social system" as used here is conceptual in nature rather than descriptive. Figure 7 is an organizational overview of an open social system (Griffiths, 1964, p. 430).

In contrast to the above organizational overview one may also conceptualize the social systems view of a school as shown in Figure 8 (Owens, 1970, p. 69).

We can further conceptualize the individual as he or she operates in the organizational environment by drawing a model as shown in Figure 9 (Owens, 1970, p. 70).

From this conceptual model we can envision the individual carrying out his unique role in an organization. This type of relationship led Getzels and Guba to become concerned with the complex web of human involvement and its attendant behavior in organizational life. As the individual, with all his needs, drives, and talents, assumes his official role in the organizational structure, he shapes that role to some extent, and is also shaped by the organization to a certain extent. The dynamic interaction of people with varying psychological makeups in the organizational setting is thus the domain of role theory.

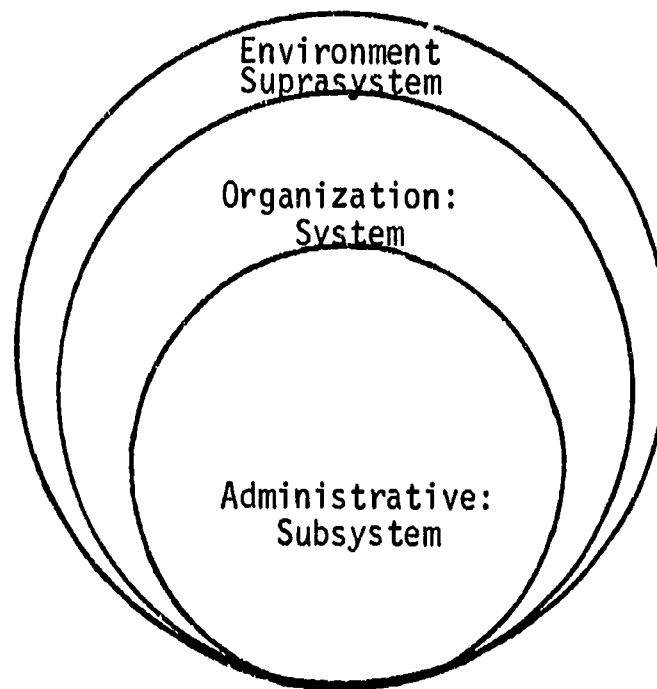


Figure 7. Organizational social system.

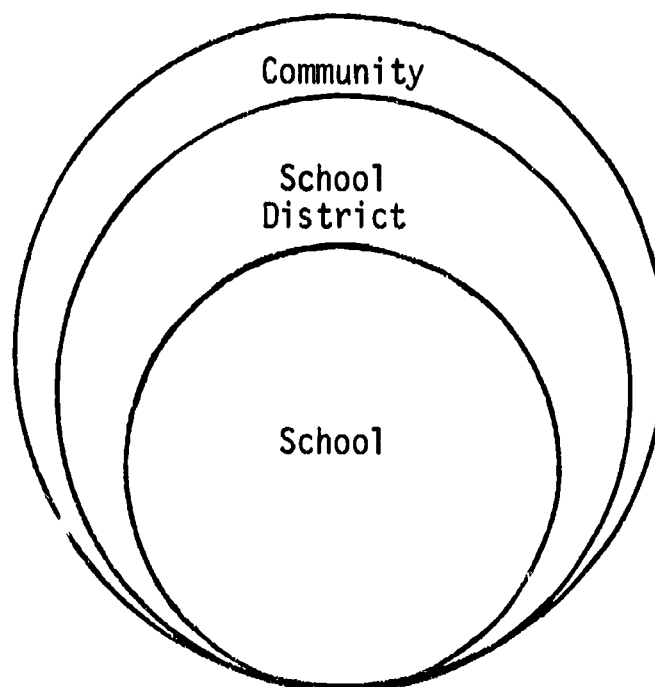


Figure 8. School social system.

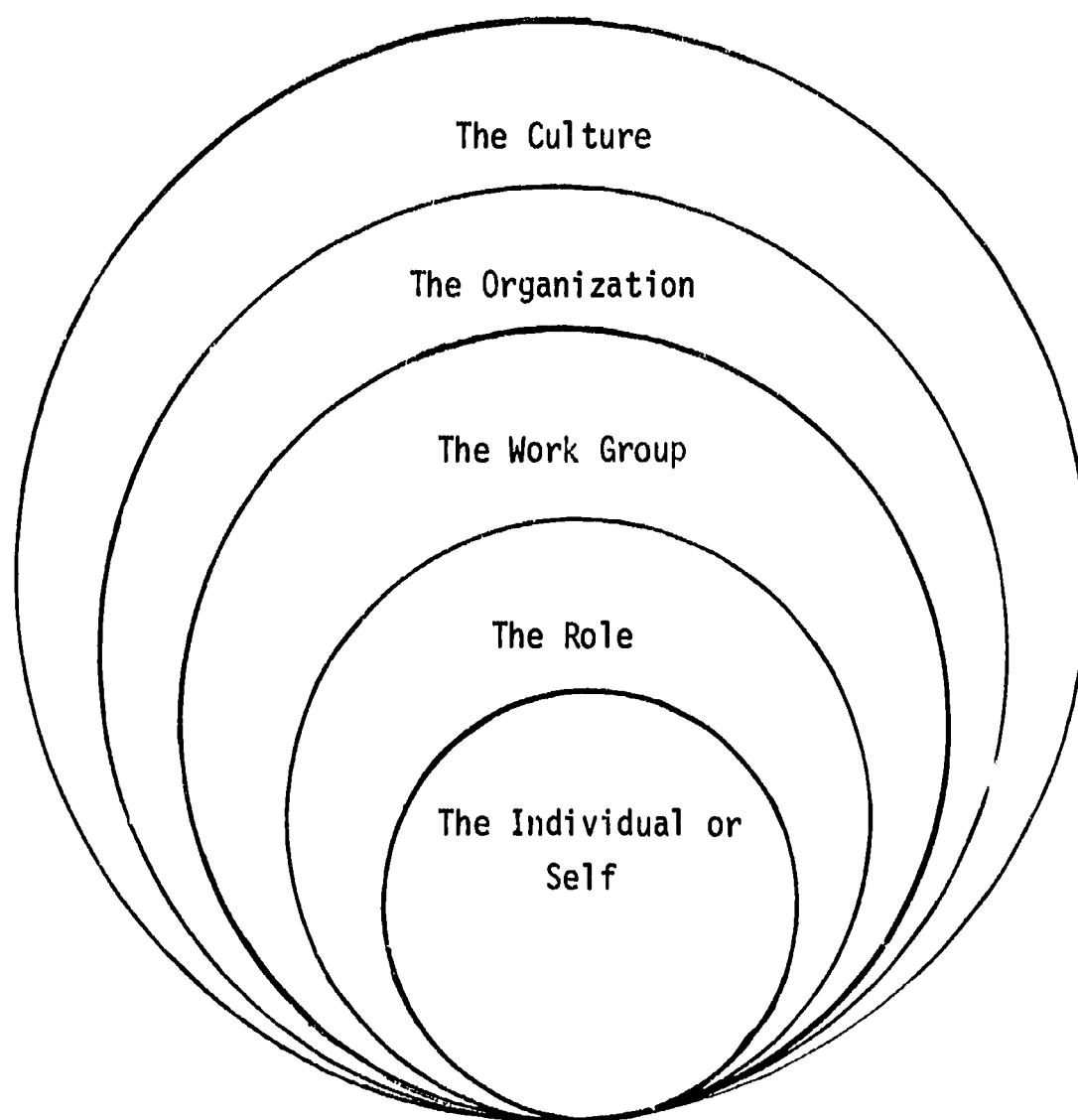


Figure 9. Individual social system view.

How people perform their roles in organizational settings is an important issue. The interpersonal behavior exhibited by participants in complex organizations as they deal with one another seems to be crucially important in determining the effectiveness of the organization. People in organizations have definite roles to perform, and many interactive factors help to determine precisely the performance of the individual and ultimately the performance of the organization.

The social system involves two major classes of phenomena. First the institution and second the individual. Within the institution or

organizational setting certain roles and expectations are established that will fulfill goals of the system. Inhabiting the system or organization are individuals with certain personalities and need-dispositions. The interaction between the individual and institution is generally called "social behavior." Social behavior may be described as a function of the institution, role, and expectations, which together constitute the nomothetic dimension of activity in a social system; and individual, personality, and need-disposition, which together constitute the idiographic dimension of activity in a social system (Getzels, Lipham, & Campbell, 1968, p. 56).

To successfully obtain organizational and personal goals one must be able to understand the nature and relationship between the institution and the individual. In order to understand the Getzels/Guba model, it is important to understand their concept of institution. The term "institution" has received a variety of definitions, but for understanding the Getzels/Guba model it is sufficient to point out that all social systems have certain imperative functions that come in time to be carried out in certain routinized patterns. These functions often include-- governing, educating, and policing. These functions may be said to have become "institutionalized" and the agencies established to carry out these institutionalized functions for the social system may be termed "institutions." Getzels and Guba point out that these institutions have certain noteworthy characteristics. Institutions are purposive, peopled, structural, normative, and sanction-bearing (Getzels, Lipham, & Campbell, 1968, pp. 51-59). For the Getzels/Guba model these institutional functional areas are vitally important.

On the other hand, Getzels and Guba have formulated several generalizations about the nature of role. The generalizations are: roles represent positions, offices, or status within the institution; roles are defined in terms of role expectations; roles are institutional given; roles may be thought of as behaviors along a continuum from "required" to "prohibited"; and roles are complementary (Getzels, Lipham, & Campbell, 1968, pp. 59-63).

To this point it has been sufficient to conceive of the role incumbent as only "actors," devoid of personal or other individualizing characteristics. Incumbents of the same role never act exactly alike nor implement the given role in exactly the same way. Roles are filled by real live people and no two persons are exactly alike. An individual performs in a particular role with a unique style of his own characteristic pattern of expressive behavior. Even in the case of the relatively inflexible roles of sergeants and of privates, no two individuals will fill the roles in exactly the same way. To understand the observed behavior of a specific sergeant and a specific private it is not enough to know only the nature of the roles and of the expectations, but one must know the nature of the individual acting in the role and the reactions to expectations. That is in addition to the nomothetic behavior, one must also consider the idiographic aspects of social behavior. Just as the institutional dimensions were analyzed into components the individual dimension must also be analyzed into component elements of personality and need-disposition (Getzels, Lipham, & Campbell, 1968, p. 75).

The term "personality" has been given a variety of meanings. In order to understand the Getzels/Guba model the term "personality" may be defined as the dynamic organization within the individual of those need-dispositions that govern his unique reactions to the environment. The central analytical elements of personality are the needs-dispositions which may be defined by Parsons and Shils as individual "tendencies to orient an act with respect to objects in certain manners and to expect certain consequences from these actions" (Parsons & Shils, 1951, p. 114).

With these two brief definitions we may now make an essential distinction between the behavior of the sergeant and the private in terms of their needs-dispositions. To fully understand the behavior of specific role incumbents in an institution one must know both the role expectations and the need-dispositions. Needs and expectations may both be thought of as motives for behavior; needs being derived from personal propensities and expectations being derived from institutional requirements. Social behavior will be the direct result deriving from the interactions between the two sets of motives.

The model that has been described may be represented pictorially as shown in Figure 10 (Getzels, 1958, pp. 156-157).

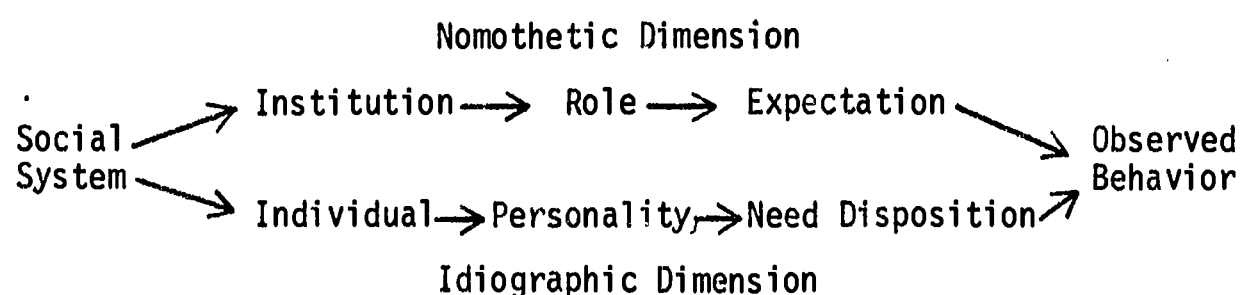


Figure 10. General nomothetic-idiographic model.

The nomothetic axis shown at the top of the diagram consists of institution, role, and role expectations. The social system is thus defined by its institutions: each institution, by its constituent roles; each role, by the expectations attaching to it. Similarly, the idiographic axis shown at the lower portion of the diagram consists of individual, personality, and need-dispositions. A given role is conceived as deriving simultaneously from both the nomothetic and the idiographic dimension. That is to say that social behavior is a result of the interactions between the nomothetic dimensions and the idiographic dimensions. The social behavior of an individual will result as the individual attempts to cope within an environment composed of patterns of expectations for his behavior in ways consistent with his own independent patterns of needs. Thus, the following general equation can be developed:  $B = f(R \times P)$ , where B is observed behavior, R is a given institutional role defined by the expectations attaching to it, and P is the personality of the particular role incumbent defined by its need-dispositions (Getzels, 1958, pp. 156-157).

The nature of the interaction can be understood more completely from the graphic presentation shown in Figure 11 (Getzels, 1958, p. 158).

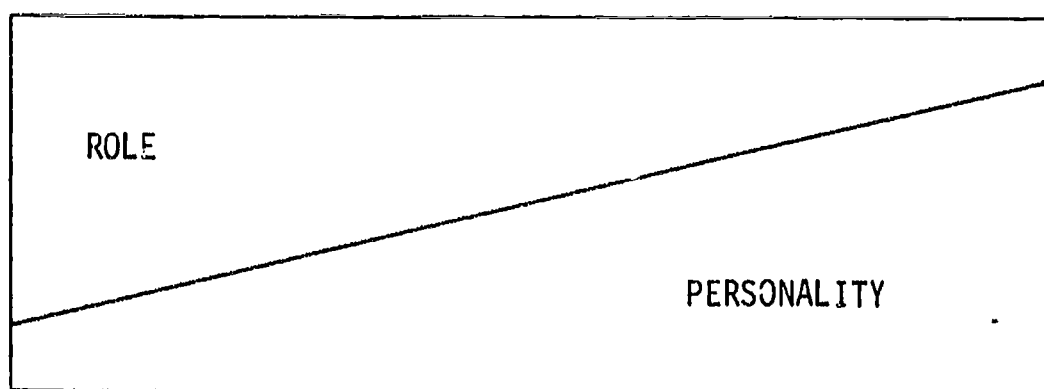


Figure 11. Interplay model role vs. personality.

This diagram represents a graphic illustration of role and personality relationships. The question can be raised here as to how much organizational behavior can be ascribed to role expectation and role prescription and how much is traceable to the personality needs of the role incumbent. Different kinds of roles in different kinds of organizations do suggest that some role players will permit very little infusion of personality into the role. Conversely, some kinds of roles demand greater personality involvement, as illustrated in Figure 12 (Getzels, 1958, p. 158).

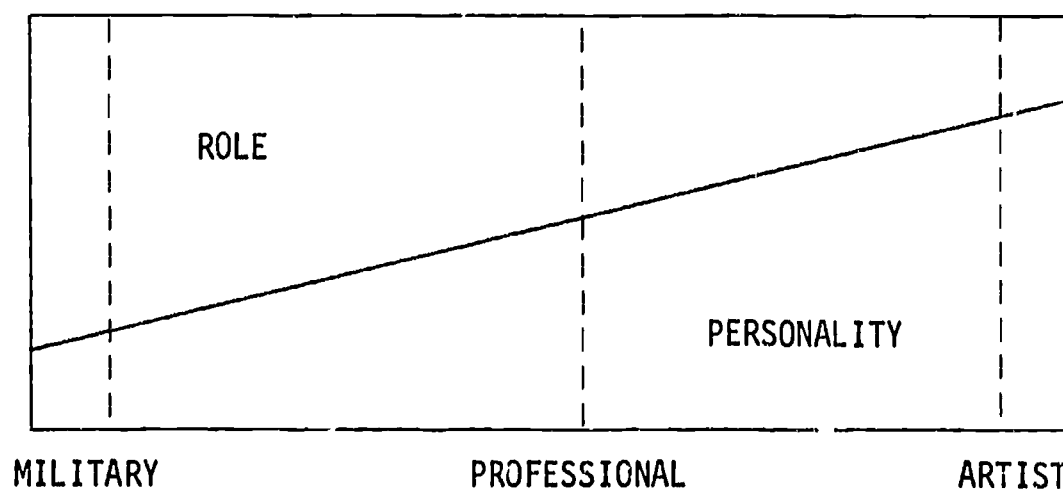


Figure 12. Interplay model--military vs. artist.

One generally supposes that the role of an army private is very largely prescribed and clearly limits the extent to which the private can meet his individual personality needs. Closer to the other extreme would be an artist who exhibits highly creative behavior with a minimum of organizational constraints. In either case behavior remains a function of both role and personality although in different degrees. When role is maximized, behavior still retains some personal aspects. When personality is maximized, social behavior still cannot be completely free from role prescription (Getzels, 1958, pp. 80-82).



The Getzels/Guba model can be very helpful in understanding role theory within an organization. When an individual performs up to role expectations, it is said he is adjusted to the role. Conversely, when an individual fulfills all his needs we speak of him as being integrated. Ideally, the individual in the organization should be both adjusted and integrated. When this occurs the model predicts that the nomothetic and idiographic dimensions are fulfilled. This condition would only occur if both the institutional expectations and personal needs are absolutely congruent. Absolute congruents of expectation and needs are seldom, if ever, found in practice. The Getzels/Guba model can be used to predict possible conflict areas. In Figure 13, one is able to identify the most conflict prone areas of the model (Getzels & Guba, 1957, p. 429 with adaption).

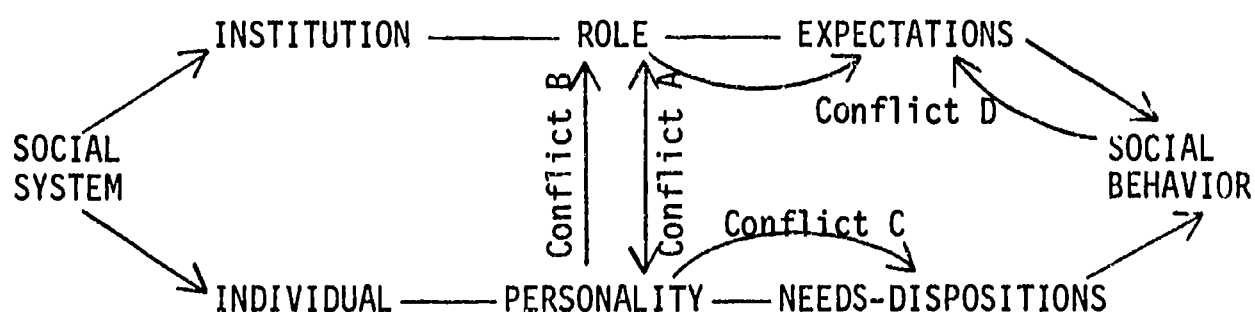


Figure 13. Normative and personal dimensions of social behavior conflict model.

In Figure 13 one can identify a conflict area in section A of the diagram. A role-personality conflict occurs as a function of discrepancies between the pattern of expectation of a given role and the pattern of need-disposition characteristics of incumbents. In this situation there is mutual interference between the nomothetic expectations

and the idiographic dispositions. The individual is faced with the decision to choose whether he will fulfill individual needs or institutional requirements. If he chooses the latter he can fulfill the institutional requirements but may find personal dissatisfaction. If he chooses the former his behavior will be unsatisfactory to the institution.

The conflict B area on Figure 13 indicates a possible area for role conflict. Role conflicts occur whenever a role incumbent is required to conform simultaneously to a number of expectations which are considered to be mutually exclusive. Such a conflict is usually labeled a role-role conflict.

A third possible conflict area is identified in conflict area C-- personality and needs disposition. One effect of such personal disequilibrium is to keep the individual at odds with the institution. This may mean the individual cannot maintain a stable relationship with a given role or he habitually misperceives the expectations placed upon him. In this case the personality conflict is an individual given and is independent of any particular institutional setting.

A fourth conflict area may be identified as role-expectations conflict and is shown in conflict area D. This type of conflict occurs when two sets of expectations for the same role are in opposition. Such a conflict may arise when the role is clearly defined but there is a misconception by part of the organization as to the expected outcomes of the role.

In terms of the Getzels and Guba model these types of conflicts represent incongruencies in the nomothetic and idiographic dimensions.

This model illustrates graphically the interaction conflict areas between the two dimensions of the social system.

### FIRO Theory of Interpersonal Behavior--Schutz

The phenomena with which this theory covers is encompassed by the term "interpersonal." This theory is based around the concept that interpersonal behavior encompasses three types of relationships: (a) prior--relationships between previous experience and present interpersonal behavior; (b) present--relationships between elements of the interpersonal situation; and (c) consequent--relationships between elements of the interpersonal situation and other behavior and attitudes (Schutz, 1962, p. 140).

The FIRO theory (Fundamental Interpersonal Relations Orientation) identifies three basic interpersonal needs which people must satisfy to some degree while avoiding threat to himself. The three interpersonal needs areas are inclusion, control, and affection (Schutz, 1962, p. 140). The theory is concerned with the use of these three need areas to predict interpersonal behavior.

In order to understand the relationships between the three interpersonal need areas, it is necessary to review the following definitions developed by Schutz.

1. Interpersonal need--A requirement for a person to establish a satisfactory relationship between himself and other people. "Relationship" refers to the amount of interchange between himself and others, and the degree to which he originates and receives behavior.
2. Inclusion behavior (I)--Behavior directed toward the satisfaction of interpersonal need for inclusion, the need to maintain and establish a satisfactory relationship with people with respect to the association.

3. Control behavior (C)--Behavior directed toward the satisfaction of the interpersonal need for control, the need to maintain and establish a satisfactory relationship with people with respect to control and power.

4. Affection behavior (A)--Behavior directed toward the satisfaction of the interpersonal need for affection, the need to maintain and establish a satisfactory relationship with people with respect to affection and love.

5. Expressed behavior (e)--Actions taken by a person on his own initiative.

6. Wanted behavior (w)--Behaviors from other people that a person feels will satisfy one of his interpersonal needs.

7. Goal achievement (g)--Degree to which optimal performance towards a goal is achieved.

8. Perceiver (( ))--The person who is perceiving a particular behavior. This may be the person doing the behaving, the target of the behavior, an outside observer such as another group member, or some person or persons specifically attempting to make a reliable, objective, repeatable observation. When appropriate to specify the observer, he will be placed in parenthesis after the behavior is observed; for example,  $e_i^C(obs)$  means the control behavior expressed by person  $i$  as perceived by an observer (Schutz, 1962, pp. 140-143).

The Schutz' theory is based upon the defined terms and the theory assumes the language of logic, mathematics, and grammatical expression.

With the above definitions we can now examine in more detail the three basic interpersonal needs--inclusion, control, and affection. The need for inclusion refers to the need to maintain a satisfactory relationship between self and other people with respect to interaction or belongingness. This need may range from (a) wanting to be with people all of the time, to belong to organizations, and to interact and mingle, to (b) preferring to be alone, stay out of groups, and to interact minimally in order to maintain privacy (Schutz, 1962, pp. 140-143).

The need for control is the need to maintain a satisfactory relationship with others in regard to power and influence so the individual can control his situation to some degree in order that his environment can be predictable for him. This need may range from wanting to control everything and everyone to not wanting to control anything in any situation. The need may range from wanting to be controlled to not wanting to be controlled.

The need for affection is the need to maintain a satisfactory relationship with others in regard to love and affection. It may range from wanting to be very close and have a personal relationship with others to wanting to be quite impersonal and distant with others.

For each of these three dimensions one can identify two aspects: (a) the behavior the individual initiates towards others, his expressed (e) behavior; and (b) the behavior he prefers others to initiate towards him, his wanted (w) behavior. Thus, the Schutz' theory is concerned with the relationships between six different variables: (a) expressed inclusion; (b) wanted inclusion; (c) expressed control; (d) wanted control; (e) expressed affection; and (f) wanted affection (Schutz, 1962, pp. 141-144).

The FIRO theory not only identifies basic interpersonal needs and instruments for measuring each need, but the theory also indicates the dimension of interpersonal compatibility between incumbence of similar or different positions. Schutz identifies three measures of interpersonal compatibility; (a) reciprocal compatibility (rK); (b) originator compatibility (oK); and (c) interchange compatibility (xK) (Schutz, 1962, p. 142).

Reciprocal compatibility is based on reciprocal need satisfaction. It measures the degree to which one person expresses the behavior wanted by another person and vice versa. The rK can be computed for each need area separately and can be expressed entirely in terms of expressed behavior (e), wanted behavior (w), and inclusion (I), control (C), and affection (A). These relationships can be expressed in the following equations (Schutz, 1962, p. 142).

$$1. \quad rKI = |e_i^I - w_j^I| + |e_j^I - w_i^I|$$

$$2. \quad rKC = |e_i^C - w_j^C| + |e_j^C - w_i^C|$$

$$3. \quad rKA = |e_i^A - w_j^A| + |e_j^A - w_i^A|$$

Where  $rKI$ ,  $rKC$ ,  $rKA$  = reciprocal compatibility in the areas of inclusion (I), control (C) and affection (A), and where  $e_i^I$ ,  $e_j^I$ ,  $e_i^C$ ,  $e_j^C$ ,  $e_i^A$ ,  $e_j^A$  = expressed behavior of  $i$  in the areas of inclusion, control, and affection and where  $w_j^I$ ,  $w_j^C$ ,  $w_j^A$  = behavior individual  $j$  wants from others in the areas of inclusion, control and affection.

The manager of reciprocal compatibility expressed in the formulas can be used in all three interpersonal dimensions--inclusion, control, and affection. A low score on the reciprocal compatibility index indicates high compatibility and/or less conflict.

Originator compatibility is concerned with the originate-receive relationship concerning the three interpersonal dimensions--inclusion, control, and affection. It measures the degree to which the preference of one person, initiating or receiving the behavior complements this preference on the part of another person. In order for two persons to operate effectively their preferred behavior regarding originating and receiving should be complementary. Persons who typically initiate group activity should work with those who want to be receivers of activity. Similarly, persons who want to dominate and control others should work

with those who want to be controlled. Persons who want to give affection should work with those who want to receive affection. Conflict arises when a complementary situation is not in existence; e.g., both parties want to originate. These relationships can be expressed with the following formulas (Schutz, 1962, p. 143):

$$1. \quad oKI = (e_i^I - w_i^I) + (e_j^I - w_j^I)$$

$$2. \quad oKC = (e_i^C - w_i^C) + (e_j^C - w_j^C)$$

$$3. \quad oKA = (e_i^A - w_i^A) + (e_j^A - w_j^A)$$

Interchange compatibility is concerned with the mutual interchange of some type of interaction within the interpersonal needs area between self and others. It measures the degree to which one person and another person like to relate in the same interpersonal atmosphere. For example, if they like the same amount of contact and association with people (inclusion), the same amount of structure and authority (control), and the same amount of personal closeness and affection (affection). These relationships can be expressed by the following equations (Schutz, 1962, p. 143):

$$1. \quad xKI = (e_i^I + w_i^I) - (e_j^I + w_j^I)$$

$$2. \quad xKC = (e_i^C + w_i^C) - (e_j^C + w_j^C)$$

$$3. \quad xKA = (e_i^A + w_i^A) - (e_j^A + w_j^A)$$

A score of zero on the above formulas indicates absolute compatibility and positive score indicates competitive incompatibility and/or greater conflict. The smaller the value of interchange compatibility the greater the interchange compatibility.

From the IRO theory, Schutz was able to develop some quantitative definitions in the area of role theory. These definitions have not been

applied to an educational environment but are of interest to students of role theory. The definitions that Schutz developed are as follows:

1. Role definition =  $e_h I, C, A(\text{obs})$ ,  $W_h I, C, A(\text{obs})$

Where  $h$  = other group members  
 $\text{obs}$  = objective observer

An objective observer's perception of the behavior that group members want from a role player and the behavior they express toward him.

2. Role expectation =  $e_h(\text{rol})$ ,  $W_h(\text{rol})$

Where  $\text{rol}$  = role player

A role player's perception of the behavior other group members want to express in his role, and what behavior he perceives they express toward him.

3. Enacted role =  $e_r(\text{obs})$ ,  $W_r(\text{obs})$

Where  $r$  = role player

The behavior the role player expresses toward other group members, and the behavior he wants them to express toward him.

4. Perceived role performance =  $e_r(\text{rol})$ ,  $W_r(\text{rol})$

The role player's perception of his own expressed behavior toward other group members, and his perception of the behavior he wants from the group.

5. Norm =  $W_{h.a}(\text{obs})$

Where  $W_{h.a}$  = behavior  $h$  wants from any group member  $a$ .

The behavior that members of a group want from any person who is a member of that group.

6. Sanction =  $e_h(\text{obs})$ , in response to  $e_r(\text{obs})$  or  $W_r(\text{obs})$

The behavior expressed by group members toward an expressed or wanted behavior of a particular group member.

The values used to define the above terms were derived from the FIRO-B Scales. The ability to express these terms in a measurable



form is one of the major contributions of the FIRO theory (Schutz, 1962, pp. 143-145).

In summary, the FIRO theory states that there are three interpersonal need areas--inclusion, control, and affection. The theory further supports the notion that these three areas are sufficient for the prediction of interpersonal behavior. The theory develops a series of relationships between compatibility and reciprocal compatibility among the three interpersonal need areas. The theory states that compatibility of two or more persons depends on (a) their ability to satisfy reciprocally each other's interpersonal needs; (b) their complementarity with respect to originating and receiving behavior in each area need; and (c) their similarity with respect to the amount of interchange they desire with people in each need area. The theory further states that roles may be defined in terms of interpersonal requirements in such a way that a quantitative measure can be made of the compatibility of an individual and a role.

The theory suggests that every interpersonal relation follows the same general developmental sequence. It starts with inclusion behavior is followed by control behavior and affection behavior. When the relation approaches termination, the developmental sequence is reversed. The relationship is withdrawn in the order of affection, control, and inclusion. This cycle may reoccur many times during the life of an individual.

From the FIRO theory it is theoretically possible to predict a course of action of an individual if we know the interpersonal orientation of the individual and the interpersonal orientations of the second individual or group involvement.

## CHAPTER IV

### EMPIRICAL ROLE THEORY STUDIES: EDUCATIONAL ADMINISTRATION RELATED

#### Introduction

This chapter presents three empirical role theory studies that are related to educational administration. These three research studies were selected for this study because of their impact on educational administration and because of the methods used to conduct the studies. These studies are (a) the School Board Executive Studies Program; (b) the National Principalship Study and (c) the Role Conflict Resolution Behavior Study of High School Principals.

#### School Board Executive Studies Program

The School Board Executive Studies Program initiated at Harvard in 1952 has become one of the models for studying role theory. The research centered around the role analysis of the school superintendency. The study was designed and implemented by Neal Gross, Ward S. Mason, and Alexandra W. McEachern. The research had two major objectives. The first was to examine certain problem areas of central interest to researchers of social behavior. Two of these problem areas included role and role-conflict analysis. The second major objective of the study was to examine a series of questions of special interest to public school administrators, school board members and interested citizens in public education (Gross, Mason, & McEachern, 1958, p. 79).

This double-barreled objective approach used the conceptual and methodological tools of the behavioral sciences to analyze strategic public policy problems and at the same time made a contribution to social science research. The studies were able to help develop a closer

link between theoretical and empirical analysis concerned with the study of roles. The study reports the outcome of an empirical inquiry whose major focus was the role of the school superintendent. The central purpose of the research was to test theoretically derived hypotheses involving expectations for and the behavior of incumbents of positions in social systems.

After the objectives of the School Executive Studies were established a number of months were devoted to gaining additional knowledge about the superintendency and its relationship to other positions. During this time the appropriate population and sampling procedures were established. A list of superintendency positions was obtained from the Massachusetts State Department of Education. These 217 superintendents were categorized based on appropriate geographic areas and a matched sample was developed by salary. The degree of equivalence between the two matched samples as indicated by a chi-square of 0.02. The research design required individual interviews with the school board members associated with each of the superintendents who fell in the sample. Long and detailed interviews took place with the appropriate school board members (Gross, Mason, & McEachern, 1958, pp. 81-82).

A four- to six-hour superintendency interview was also established. The interview was structured around concepts such as aspiration, job and career satisfaction, frequency of overtime work, evaluation of school board members, potential fatigue problems and other areas related to role analysis (Gross and Mason, 1953, pp. 197-204).

From these long detailed interviews, six different role definition instruments were developed. The instruments are (a) Superintendents

Performance Instrument, (b) Superintendents Attitudes Instrument, (c) Superintendents Participation Instrument, (d) Superintendents Friendship Instrument, (e) School Board Performance Instrument, and (f) Division of Labor Instrument (Gross, Mason, & McEachern, 1958, pp. 349-365). From these instruments the researchers were able to analyze the data based on a macroscopic and a microscopic approach.

The research design of the project developed a number of important hypotheses. The chi-square statistic was used to prove or disprove each hypothesis. Some of the relevant hypotheses of the study are as follows:

- Hypothesis 8-1: In specifying the division of responsibility between a subordinate and superordinate, incumbents of each of these positions will assign more responsibility to their own position than incumbents of the other position will assign to it.
- Hypothesis 8-2: Incumbents of both superordinate and subordinate persons will assign relatively greater responsibility to the subordinate for actions requiring greater technical competence than for actions requiring less technical competence.
- Hypothesis 8-3: In specifying the obligations of an incumbent of any position (A) in a formal organization to the incumbents of a counter position (B), incumbents positions in the organization who deal directly with incumbents of this counter position (B) will specify a greater degree of obligation of A to B than will incumbents of positions who do not deal directly with incumbents of this counter position.
- Hypothesis 8-4: Incumbents of different positions in a formal organization who identify with members or are themselves members of different external systems which interpret the organizational goal differently will express expectations for incumbents of any position within the formal organization which are influenced by their different identification or membership.

Hypothesis 8-5: In defining the line of authority in a formal organization, position incumbents will be less likely to accept or more likely to reject a bypass of their own position than are position incumbents, whether subordinates or superordinates, who participate in the bypass (Gross, Mason, & McEachern, 1958, pp. 123-135).

A number of interesting conclusions were made from these data captured to support the above hypotheses. The general objectives were to examine the consensus between samples of incumbents of the position of superintendent and school board member and to test certain hypotheses concerning differences in role definition of incumbents of different positions in formal organizations. The study revealed no significant differences on the five hypotheses between the distributions of expectation responses of school board members and superintendents.

The findings of Gross, Mason, and McEachern have made a profound impact in the area of role theory. Their study was one of the first comprehensive studies in the area of education. The primary objective of their research was to describe and investigate degrees of consensus among superintendents, among school board members, and consensus between these sets of role definers on the expectations they hold for incumbents of their positions. Each respondent was requested to express expectations for the behavior and attributes of occupations of the superintendent and school board member positions. These data for the study were collected from the six role definition instruments. Several different statistical methods were used to analyze these data with the predominate procedure being the chi-square.

From the interposition microscopic consensus analysis the following conclusions were drawn by the researchers: (a) For 37% of the items,

using the chi-square criterion, no differences were found between the distributions of superintendents' and school board members' responses. (b) On a large position of items (63%) there was a significant difference between the distribution of their responses. (c) On some of the items the difference demonstrated may be considered to be due to different degrees of intensity with which the position incumbents express their expectations. This disagreement is based on whether the expectation is mandatory or preferred. (d) On other items the demonstrated differences may be considered to be due to different directions of expectations. This disagreement may be based on whether the expectation is positive, neutral or negative (Gross, Mason, & McEachern, 1958, pp. 141-142).

Some general assumptions that were derived from this study concerning consensus on role definitions are: (a) An incumbent of a focal position may define what most of his rights and obligations are and an incumbent of a counter position may accept these definitions. (b) Incumbents of counter positions may define most expectations and an incumbent of the focal position may accept them. (c) An incumbent of the focal position may define his rights while incumbents of the counter position may define his obligations and both may accept each others definitions of these role segments. (d) Neither the incumbent of the focal or of the counter position may have well defined expectations for each others behavior in their initial interaction and they may be eventually worked out through a trial and error process. (e) Some expectations may be learned prior to and others during position incumbency (Gross, Mason, & McEachern, 1955, p. 142-143).

The Gross study with school administrators and school board members revealed instances of each of these role definitions and role learning

situations. The assumption that there is consensus on role definition on the basis of which socialization takes place is untenable for the school administrators position and the school board member.

The research studies by Gross et al. give strong impetus that a family of role concepts may exist. The study suggests that role concepts may exist at the level of individual behavior, at the level of group behavior, and at the cultural level. There is no doubt an interrelationship between these levels that will play an important part in the interactions that will take place between a superintendent and his respective school board.

In addition to the significant findings of this study Gross and fellow researchers have outlined a comprehensive methodology for the study of role consensus. This study has generated strong interest in the area of role theory and has encouraged many other researchers to pursue this important topic.

#### National Principalship Study

In the summer of 1960 the National Principalship Study was initiated by Harvard University. The study was designed to focus on a set of questions about the leadership performance of elementary school principals. The basic objective of the inquiry was to isolate determinants and organizational effects of the professional leadership principals offer to their schools. The necessary data were obtained through personal interviews and questionnaires from 175 elementary school principals and appropriate administrative superiors and teachers from 40 large school systems in all regions of the United States. The research questions were concerned with the dimensions of a principal's



behavior that reflects conformity to a professional conception of his role as a leader. One of the major questions studied in this research was whether the role of the principal should or should not primarily emphasize professional tasks (Gross & Herriott, 1964, p. 1-1).

A comprehensive questionnaire was developed around key issues such as teacher's morale, professional performance of teachers, and pupil's performance. As a tool for analysis the Executive Professional Leadership (EPL) instrument was developed. The Executive Professional Leadership instrument was used with the elementary school principals in the hope of obtaining information that would help solve practical problems of the public school system (Gross & Herriott, 1964, p. 1-1, 1-14).

The findings of the study proved not to be a set of recipes for solving leadership problems of public education nor paradigms for scientific studies of professional leadership. The findings and conclusions of the study have proved useful in the development of programs to improve the management of school and in systematic studies of leadership.

One of the major objectives of the study was to examine the consequences of the professional leadership exhibited by elementary school principals for the operation of their schools. To ascertain the effects of the professional leadership abilities of the principals on their organization, the relationship between their EPL and three characteristics of schools that are widely accepted as meaningful criteria for measuring their effectiveness, were studied. The criteria was (a) staff morale, (b) the professional performance of teachers, and (c) the pupil's learning. Positive relationships between EPL and each of these three



dimensions were judged to be significant statistically at the 0.02 level (Gross & Harriott, 1964, 9-1 - 9-7).

This study also outlined a number of interesting hypotheses. While it is impossible to state all of the hypotheses given in the study, a few will be mentioned at this time that have special emphasis on the role of the principal.

Hypothesis 6-1: The greater the EPL displayed by the principal's immediate administrative superior the greater the EPL of the principal.

Hypothesis 6-2: The greater the administrative support displayed by the principal's immediate administrative superior the greater the EPL of the principal.

Hypothesis 6-3: The more social support a principal receives from his immediate administrative superior the greater the EPL of the principal.

Hypothesis 7-1: The more a principal permits his teachers to share in his decisions the greater his EPL.

Hypothesis 7-3: The more social support a principal offers to his teacher the greater his EPL.

Hypothesis 7-5: The greater the principal's support of his teachers in cases of conflict between teacher and pupil the greater his EPL.

Hypothesis 8-2: The more off-duty time a principal devotes to his job, the greater his EPL. (Gross & Harriott, 1964, pp. 6-2, 6-3, 7-2, 7-11, 7-17, 8-18.)

Of the above seven hypotheses all were shown to be statistically significant at the 0.02 level. From these hypotheses and the data presented by the National Principalship Study, one can learn much about the expected role of the elementary school principal in the operation of his organization.

#### Role Conflict Resolution Behavior of High School Principals

In the autumn of 1975, Hatley and Pennington reported the findings of a study that was designed to assess the role conflict resolution

behavior of high school principals. The investigation focused on five distinct resolution modes involving reason, legitimacy, and sanction variables, and the issue of hierarchical aspects of conflict episodes. Their findings prompted the development of a reconceptualized model of role conflict resolution.

Hatley and Pennington based their study on the premise that modern society is a society of organizations. Furthermore, they conceptualized that internal and external circumstances frequently put the human members of the organization in direct conflict with one another. These conflicts often arise out of the issues facing the role set of which the individual is a member and are confounded by the expectations held by others of a particular role incumbent. In this given situation, two questions arise worthy of investigation concerning the relationship of the human and the organization. How do individuals seek to resolve role conflict, i.e., what resolution-oriented decisions do they make? And secondly, what explanatory reasons can be ascribed to specific role conflict resolution decisions and do these differ on the role actors, organizational level, specific nature of the conflict issue (Hatley & Pennington, 1975, p. 67)?

The Hatley-Pennington study focused on the above questions as they pertained to public high school principals. The public school hierarchy of related positions places the high school principal in role conflict situations among school administrators, their superiors and subordinates. The ability to assess reactions to the existing conflict situation, to understand exhibited behavior, and to predict the reaction of key administrative personnel would obviously greatly enhance one's ability to effectively manage a high school situation.

The theoretical framework of Hatley and Pennington is centered around the role conflict resolution theory as empirically established by Gross, Mason and McEachern and is modified by Ritzer and Trice (1969).

The purposes of this study, the assumption was made that school administrators are familiar with their own organization and with common conflict situations which may directly affect their positions within the organization. It was assumed that administrators have had prior experience in attempting to resolve conflicts. The investigations utilized the general role and conflict resolution model and presented three selected hierarchical level conflict situations (superior, peer and subordinate) with which administrators are concerned (Hatley & Pennington, 1975, p. 70). The conflict situations were designed to be realistic in order that administrators could identify with the hierarchical position and possible courses of resolution behavior.

From their study Hatley and Pennington developed the following hypotheses:

1. There will be no significant differences in the type role conflict resolutions selected by high school principals in each of the following role conflict situations.
  - 1.1 Superior/subordinate (school board/principals) conflict situations involving issues related to "efficiency experts recommended changes in work load" and "budgetary referendum recommendations "
  - 1.2 Middle management/peer (principal/principal) conflict situations involving issues related to "sex education curriculum" and "minority group representation."
  - 1.3 Middle management/subordinate (principal/teachers) conflict situations involving issues related to "dress codes" and "ability grouping."
  - 1.4 Conflict situations involving principals across three levels of the organizational hierarchy (superiors, peers, and subordinates).

2. There will be no significant differences in the code reason responses given by high school principals and the types of role conflict resolution selected for each of the role conflict issues.
3. There will be no significant degree of association between the legitimacy scores and the frequency of resolution responses across all conflict issues selected by high school principals for each type of resolution response.
4. There will be no significant degree of association between the sanction scores and the frequency of resolution responses across all conflict issues selected by high school principals for each type of resolution response. (Hatley & Pennington, 1975, p. 71)

Statistical significance at the .05 level was required for the rejection of each hypothesis.

For purposes of testing the hypotheses data was obtained and compiled from a tested questionnaire survey. Chi-square analysis, gamma measures of association, and cross tabulation analysis was used to analyze the data. Questionnaire respondents were asked to make behavioral choices based on (a) independent action, (b) conform A, (c) conform B, (d) compromise, (e) withdrawal. The behavioral choices were concerned with six conflict issues: (a) efficiency expert report, (b) budget referendum, (c) sex education, (d) student organization minority group representation, (e) dress code, and (f) ability groupings. The compromise conflict resolution mode was selected most often by the respondents for five of the six conflict issues. More principals indicated that they react to conflict issues on the basis of professional initiative than for other behavioral reasons (Hatley & Pennington, 1975, p. 73).

In summary, the results of the data analysis characterized the typical candidate's high school principal. The principal would primarily act as a compromise on organizational role conflict situations and would

act in a secondary way as an independent actor. The principals overall tended to question the legitimacy of peer group and subordinate expectations in role conflict episodes. However, the opposite legitimacy perception was expressed in superior/middle management conflict situations, i.e., principals view behavioral expectations of the school board as more right and appropriate than those of either principal colleagues or teachers. Principals seem willing to endure negative sanctions largely because of the dependence upon the nature of the particular issue and hierarchical levels within which the conflict exists. The expressed willingness to endure relatively negative sanctions was somewhat greater in the case of conflicts involving other principals and teachers than in those involving the board of education (Hatley & Pennington, 1975, pp. 80-81).

The study further indicated that legitimacy and sanction as conflict resolution variables are not statistically related to modes of resolution behavior of high school principals. One possible explanation for this finding is that legitimacy and sanction concerns are not logical complements of the most often adopted resolution modes of independent action and compromise. In one respect, the independent actor decides upon a plan of action and implements his plan regardless of expectation legitimacy and sanction consequences. On the other hand, the compromiser essentially is willing to pool all of his efforts and allow the effects of legitimacy and sanction potential to be somewhat diffused as a result of the combined plan of action. The compromiser attempts to partially satisfy all groups involved, thereby, attempting to more or less neutralize the legitimacy and sanction potential (Hatley & Pennington, 1975, pp. 81, 83).

This study is related very closely to the school board executive studies program initiated at Harvard University by Gross, Mason and McEachern. Since the same instruments were not used for the two studies, they can not be compared directly. However, it is interesting to note that the theoretical concept developed by Gross, Mason and McEachern can be applied in a different situation using different assessment instruments.

## CHAPTER V

### SUMMARY AND CONCLUSIONS

A flurry of investigations followed the work of Stouffer. Many studies appeared in the early 1950's seeking to examine and explain role conflict situations in terms of personal dispositions of position incumbents (Stouffer, 1949, Stouffer & Toby, 1951, and Mishler, 1953), but the best known theoretical and empirical work on the problem came from the Gross, Mason and McEachern's (1958) study of the superintendent's role. Their study developed a theory to predict which of four modes of resolution a position occupant would follow when he is subjected to incompatible expectations--compliance with Expectation A, compliance with Expectation B, compromise, or avoidance. According to the theory, the choice of the position occupant is determined by the interplay of three factors: the legitimacy he accords the expectations, the sanctions he believes would follow from non-compliance, and his personal orientation. Gross and his associates treated legitimacy and sanctions as dichotomous attributes and personal orientation as three-valued--moralists, expedients, and moral-expedients.

In subsequent years several studies influenced by the Gross theory have been published. Miller and Schull (1962) converted the sanctions dimension to a five-point scale and dropped the personal orientation determinant altogether. Ehrlich et al. (1962) tried a number of different question phrasings for the legitimacy and sanctions dimensions and only one of the predictors corresponded precisely to those of the Gross study. Miller and Schull (1962) obtained accuracy levels around 70 percent, but in two studies reported by Ehrlich (1962) predictions never went above 56 percent. Sayan and Charters (1970) in a study with

principals, failed to replicate the predictive features of the Gross theory. The non-replication was attributed to the problem of adaption of the questionnaire to the principal's circumstances.

Getzels and Guba (1957) presented a systems theory for analyzing the factors which influence the behavior of individuals in organizations. The Getzels and Guba model describes the organization as a social system which features a hierarchial role-structure. For each role in the system there are certain behavioral expectations from others in the system. No one in the system has the same expectation of the role of an incumbent as any other member of the system. According to Getzels and Guba, there are two dimensions which are significant factors in producing organizational behavior: the personal dimension and the organizational dimension. This model has been widely used and researched in the educational administration area. In the Getzels and Guba model each behavioral act stems simultaneously from the nomothetic and idiographic dimensions. The relationship of what proportion of each dimension is attributed to the individual role or the institutional role is expressed as a function of interplay between the two dimensions.

The Getzels and Guba model has been used as the theoretical framework for a number of studies. One such study is the Bridges (1965) study. He studied the effect of the amount of experience that elementary school principals have on teachers' perceptions of their organizational behavior. Many other studies have been based on the Getzels and Guba model with various degrees of success.

The role of the educational administrator as well as methods used to study role theory are far from being standardized. This study revealed a number of different methods used to study the educational administrator



as he operates in his organizational environment. This study of some of the aspects of the role of the educational administrator revealed a number of points of strain and potential conflict between the administrator and his social system. These points promise to be important for an understanding of many of the problems encountered in large-scale educational institutions. This analysis is necessarily preliminary because of the relatively small number of studies reviewed.

The research in role analysis reveals that the educational administrator is a man in the middle--frequently caught between the conflicting demands of teachers, pupils, parents, etc. and those of higher authority within the organization.

More systematic work on the role of the educational administrator is highly desirable. Certain other questions must also be addressed. For example, what is the type of organizational structure most suitable for the conduct of the educational process. Are educational administrators necessary for effective learning environments?

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